

RECORDS MAINTENANCE

File Numbers for Investigative Matters

APPROVAL/TRANSMITTAL

This revision adds a new universal program code 08 to be used when documenting and scheduling workplace violence incidents for investigation and also adds to this directive a listing of agency program codes to be used in conjunction with specific investigative file numbers (exhibit D). This supersedes IG-2143, dated March 1995 and August 1996; IG Staff Memoranda I-95-5-2143, dated March 10, 1995; I-96-6-2143, dated July 23, 1996; I-99-2-2143, dated March 15, 1999 and I-99-3-2143, dated April 9, 1999. Remove and destroy previous editions.

ROGER C. VIADERO
Inspector General

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A. DEFINITIONS

1. Investigative Case Files. An investigative case file is created for each investigation and is identified by a unique alphanumeric identification code. The file contains all correspondence, forms, workpapers, and folders, and is coded with the same identifier.

2. Zero (0) Files. Zero files are set up to maintain a record of miscellaneous information which does not pertain to a particular case and may include the following.

a. Complaints or complaint information which does not result in an OIG investigative report or a formal declination.

b. Any correspondence, newspaper clippings, or other informational documents of an investigative nature which do not merit OIG investigative action at the time of filing and do not relate to one or more existing case files including OIG referrals of employee violations of Title 18 of United States Code or misconduct to other investigative agencies or the USDA's Office of Human Resources Management.

B. POLICY. To ensure that investigative reports and related materials are maintained in an orderly manner, investigative case files and zero files shall be identified and filed using the OIG alphanumeric character coding system described in this directive.

C

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C. PROCEDURES1. Investigative Case Files

a. Assignment of identifying numbers and letters. An investigative case file is identified and filed under an alphanumeric character coding system that consists of four parts separated by hyphens. The number is assigned by the OIG office opening the case.

(1) Office identifier. This is a two letter alphabetic designation that identifies the originating region or headquarters. Current office identifiers are:

NY - New York	TE - Temple
HY - Beltsville	KC - Kansas City
AT - Atlanta	SF - San Francisco
CH - Chicago	HQ - Headquarters

Note: Although not classified as an investigative file, Hotline complaints are assigned the alphabetic designation PS. These files are maintained by the Program Investigations Division.

(2) Agency and program code. This is a four-digit number that identifies the agency and the program, activity, or function involved in the investigation. The first two digits identify the agency; the last two identify the program, activity, or function.

Exhibits A and B are numerical and alphabetical listings of agencies and their corresponding agency code numbers. Exhibit C contains a list of standard program codes that are applicable to all agencies.

(3) Sequential number. This is a four-digit sequential number that identifies the individual case file. In each office, each case is assigned a sequentially higher number.

Example: NY-0752-0004
 480 sales) NY (New York) - 07 (FAS) 52 (P.L.
 York) - 0004 (4th P.L. 480 case in New

Note: The leading zeros in the four-digit agency/
 program code and the four-digit sequential number that follow are for computer input. To maintain uniformity, always show the leading zeros.

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(4) Suffix. If applicable, this is an extra letter or letter and number combination to identify particular types of cases for special tracking purposes. Suffixes identify declined (D) and supplemental (S) investigations.

(C1(4))

(a) Supplemental. A supplemental investigation is identified by the capital letter S and a one-digit number identifying the sequential number of the supplemental investigation. This is preceded by a dash and the four-digit sequential number.

Examples: SF-0816-0004-S1
SF (San Francisco) - 08 (FS)
16 - (assault) - 0004 (4th
case)
- S (supplemental) 1 -
(supplemental report #1)
SF-0816-0004-S2
(supplemental
report #2)

(b) Declined requests for investigation. When a request for investigation is declined, the next sequential case number in the appropriate agency/program series is assigned and identified with a dash and the suffix letter D.

Example: KC-0801-0007-D
KC (Kansas City) - 08 (FS) 01
- (personnel) - 0007 (7th
case)
- D (declined)

b. Filing investigative case files. File cases by office identifier, grouped by agency and program code, in numerical order. The two categories of files are:

(1) Open files - those in which necessary action has not been completed; and

(2) Closed files - those in which all necessary action has been completed.

Note: Separate file cabinets or drawers may be used for each category, in which case sequential filing is used for both open and closed files.

c. Closing investigative case files. The SAC's have the final authority and responsibility for closing investigative files; however, this authority may be delegated to a subordinate (see IG-8110, Complaint Processing and Case Control).

2. Zero (0) Files

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a. Contents. Zero files contain information relating to a particular agency and program which does not result in an OIG investigation being opened or a formal declination.

(C2)

b. Assignment of identifying numbers. The file number assigned is an alphanumeric code which identifies the OIG office, USDA agency, and agency program. It also includes a zero (0) to identify it as a zero file.

Example: Nonspecific information concerning the FSA Conservation Reserve Program in Alabama, AT-0326-0-1234.

AT (Atlanta) - 03 (FSA) - 26
(Conservation Reserve
Program) - 0 (zero file) - 1234
(sequential number).

Information of a general nature that can be related to an agency, but not to a program, activity, or function, is filed in an agency zero file using program code 00.

Example: TE-0300-0-2345

TE (Temple) - 03 (FSA) 00 (non-specific
program)
- 0 (zero file) - 2345 (sequential
number).

Separate but related items are given the same sequential number and are attached to and filed with the original zero file number.

3. Filing zero and investigative case files

a. Use a separate folder, envelope, or container to store voluminous workpapers which include original written statements, and other bulky material accumulated during an investigation.

When folders or envelopes are used, file them sequentially by case number apart from the case files to which they pertain.

b. When the size or bulk of case notes and evidentiary material is slight, this material may be placed in the case file rather than using a separate folder or envelope. For further information on workpapers, see IG-8431.

c. Mark for indexing and assign an identifying number (without a sequence number) to the zero file material before forwarding it to RCC or to the AO for filing.

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d. When an investigation is opened on the basis of zero file information, move the documents to a case file and place a sheet of paper, bearing the old zero file number and the new investigative case number, in the zero file to show the new location of the material.

e. Maintain zero files 5 years, then purge or destroy them in accordance with General Records Schedule 22 (see IG-2186).

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NUMERICAL LISTING OF AGENCIES

<u>Agency Code</u>	<u>Agency</u>
01	Agricultural Marketing Service (AMS)
02	Agricultural Research Service (ARS)
03	Farm Service Agency (FSA)
04	Rural Housing Service (RHS)
05	Risk Management Agency (RMA)
06	(Inactive) (ES)
07	Foreign Agricultural Service (FAS)
08	Forest Service (FS)
09	Rural Utilities Service (RUS)
10	Natural Resources Conservation Service (NRCS)
11	Office of Chief Financial Officer (OFCO)
12	Office of Chief Economist (OCE) (includes Economics Analysis Staff, World Agricultural Outlook Board and Office of Risk Assessment and Cost Benefit Analysis)
13	Cooperative State Research, Education and Extension Service (CSREES)
14	Economic Research Service (ERS)
15	(Inactive) (ACS)
16	Office of the General Counsel (OGC)
17	Office of Administrative Law Judges (OALJ)
18	Office of Communications (OC)
19	(Inactive)
20	(Inactive)
21	(Inactive) (NAL)
22	(Inactive) (OE)
23	Office of Operations (OO)
24	Food Safety and Inspection Service (FSIS)
25	Office of Congressional Relations (OCR)
26	National Agricultural Statistics Service (NASS)
27	Food and Nutrition Service (FNS)
28	(Inactive)
29	Office of the Secretary (SEC) (includes Under Secretaries, Assistant Secretaries, Executive Operations, etc.)
30	Grain Inspection, Packers and Stockyards Administration (GIPSA)
31	(Inactive) (FGIS)
32	(Inactive) (RDA)
33	Animal and Plant Health Inspection Service (APHIS)
34	Rural Business-Cooperative Service (RBS)
35	(Inactive)
36	(Inactive)
37	(Inactive)

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of IG-2143

38 Office of Human Resources Management (OHRM)
39 Office of Budget and Program Analysis (OBPA)
40 (Inactive)

Agency
Code

Agency

41 Disaster Management and Coordination Staff (DMCS)
42 Office of Inspector General (OIG)
43 (Inactive)
44 (Inactive)
45 (Inactive) (OCA)
46 National Appeals Division (NAD)
47 (Inactive)
48 (Inactive) (OSDBU)
49 (Inactive)
50 Multi-agency 1/
51 (Inactive)
52 Board of Contract Appeals (BCA)
53 (Inactive) (EMS)
54 (Inactive) (HNIS)
55 Office of Judicial Officer (OJO)
56 (Inactive)
57 (Inactive) (WAOB)
58 Office of Information Resources Management (OIRM)
59 Affiliated Agencies and Non-USDA Tenants
60 Office of Civil Rights (CR)

1/ Agency code number 50, Multi-Agency, is used for
allegations not involving a specific agency program or
employee and is to be used only when a case is not opened. For those
cases opened involving two or more agencies, the
predominate agency code number is to be used.

ALPHABETICAL LISTING OF AGENCIES

Agency	
<u>Code</u>	<u>Agency</u>
Administrative Law Judges, Office of (OALJ)	
..... 17	
Affiliated Agencies and Non-USDA Tenants	
..... 59	
Agricultural Marketing Service (AMS)	
..... 01	
Agricultural Research Service (ARS)	
..... 02	
Animal and Plant Health Inspection Service (APHIS)	
..... 33	
Board of Contract Appeals (BCA)	
..... 52	
Budget and Program Analysis, Office of (OBPA)	
..... 39	
Chief Economist, Office of (OCE)	
..... 12	
Chief Financial Officer, Office of (OCFO)	
..... 11	
Civil Rights, Office of (CR)	
..... 60	
Communications, Office of (OC)	
..... 18	
Congressional Relations, Office of (OCR)	
..... 25	
Cooperative State Research, Education and Extension Service (CSREES)	
..... 13	
Disaster Management and Coordination Staff (DMCS)	
..... 41	
Economic Research Service (ERS)	
..... 14	
Farm Service Agency (FSA)	
..... 03	
Food and Nutrition Service (FNS)	
..... 27	
Food Safety and Inspection Service (FSIS)	
..... 24	
Foreign Agricultural Service (FAS)	
..... 07	
Forest Service (FS)	
..... 08	
General Counsel, Office of the (OGC)	
..... 16	

Exhibit A(2)
of IG-2143

Grain Inspection, Packers and Stockyards Administration (GIPSA)	30
Human Resources Management, Office of (OHRM)	38
Information Resources Management, Office of (OIRM)	58
Inspector General, Office of (OIG)	42
Judicial Officer (JO)	55
Multi-Agency	50 <u>1/</u>
National Appeals Division (NAD)	46
National Agricultural Statistics Service (NASS)	26
Natural Resources Conservation Service (NRCS)	10
Operations, Office of (OO)	23
Risk Management Agency (RMA)	05
Rural Business-Cooperative Service (RBS)	34
Rural Housing Service (RHS)	04
Rural Utilities Service (RUS)	09
Secretary, Office of the (SEC)	29

1/ Code number 50, Multi-Agency, is used for allegations not involving a specific agency program or employee and is to be used only when a case is not opened. For those cases opened involving two or more agencies, the predominate agency code number is to be used.

PROGRAM CODES TO BE COMBINED WITH ALL AGENCY CODES

<u>Program Codes</u>	<u>Description</u>
00	None or Non-Specific Allegation
01	USDA Employees, including former USDA employees and FSA county office employees. (Any case involving USDA employees shall be opened under code 01 and not under a particular program code. If, for example, an FSA employee violates the food stamp program, the case would be opened under the 301 code and not the 2749 code.)
02	File Reviews, Preemployment Inquiries
03	workplace violence
05	Non-USDA Employees Misconduct (Examples: Employees of RUS Cooperatives; RHS Contract Investigators and Architects; etc.)
06	Accidents
08	workplace violence
10	Investigative Surveys
13	Compliance Oversight
14	Protective Operations
16	Assaults/Threats
17	Bribery
18	Product Tampering (for reporting violations of the Federal Anti-Tampering Act, 15 U.S.C. 1365)
19	Procurement Fraud
90	Sherman Anti-Trust Act violations (15 U.S.C. 1)
99	All others

AGENCY CODE: 01

AGRICULTURAL MARKETING SERVICE (AMS)

Standardization, Grading, and Market News

0121 Inspection and Grading Programs

(Includes cotton (7 CFR 28) and tobacco (7 CFR 29)
inspection acts.)

Marketing Agreements and Orders

0160 Marketing Orders

(Includes orders for commodities listed in 7 CFR 900 to
1201.)

Other Programs

0170 Perishable Agricultural Commodities Act (PACA) (746-47)

0171 Produce Agency Act (7 CFR 48)

0172 Plant Variety Protection Act (7 CFR 180)

0173 Federal Seed Act (7 CFR 201-202)

AGENCY CODE: 03

FARM SERVICE AGENCY (FSA)

Conservation and Environmental Programs

0320 Agricultural Conservation Program

0322 Other Conservation Programs

0326 Conservation Reserve Program

Production Adjustment Programs

0330 Deficiency Payment Programs

(Sometimes referred to as Target Price Programs.
Specify type of crop, e.g., Corn Deficiency Payment
Program.)

0335 Exceeding Maximum Payment Limits (7 CFR 770.6a)

0336 Wool and Mohair Payment Programs

0337 Set Aside irregularity

0339 Milk Diversion/Other Dairy Subsidy Programs

Price Support Programs

0341 Farm Marketing Quota and Acreage Allotment Programs

(Specify program, e.g., ELS Cotton Program. For
tobacco, use file number 0342. For peanuts, use file
number 0344.)

0342 Tobacco Program

0344 Peanut Program

0345 CCC Loan & Purchase Programs

(Includes programs listed in 7 CFR, Chapter XIV,
Subchapter B. Specify program, e.g., Barley Loan and
Purchase Program; Tobacco Loan program. For Farm-
Stored Loan Programs, use number 0346. For commercial

warehouse-stored loans, use number 0356.)

0354 Agricultural Market Transition Act (AMTA)

AGENCY CODE: 03

FARM SERVICE AGENCY (FSA)

0346 Farm-Stored Commodity Loan Program

(Specify program, e.g., Peanut Farm-Stored Loan and Purchase Program.)

0347 Farm Storage Facility Loan Program (7 CFR 1474)

(Specify program, e.g., Farm Storage and Drying Loan Program.)

0348 CCC Commodity Acquisitions for Donation (Domestic and Foreign)

0349 Feed Grain Program

Other Related FSA Programs

0350 Emergency & Disaster Programs

(Includes programs authorized by HUD's Federal Disaster Assistance Administration pursuant to provisions of the Disaster Relief Act of 1974. Specify program, e.g., Emergency Feed Program.)

0355 U.S. Warehouse Act and other warehouse matters not covered under file code 0356.

0356 Commercial Warehousing

(Specify the type of storage agreement, e.g., Uniform Grain Storage Agreement, Bean Storage Agreement.)

0357 Indemnity Payment Program

0359 CCC Export Program

Farm Credit Programs

0364 Farmer Program Borrower

(Includes direct and guaranteed farm loan programs, farm ownership loans and farm operating loans.)

0365 Emergency Program Borrower

AGENCY CODE: 04

RURAL HOUSING SERVICE (RHS)

Borrowers

0420 RH Borrower (Single Family)

0423 RRH Borrower (Multi-Family)

Contractors

0430 RH Contractor (Single Family)

0431 RH Contractor/Developer (Multi-Family)

Management Agents*

0432 RRH Project Manager

Community Programs

0442 Community Facilities Loan Program Borrower

0444 Community Facilities Loan Program Contractor

*Management Agent - The firm or individual engaged by the borrower and charged with the responsibility to manage the project in accordance with a written agreement.

AGENCY CODE: 05

RISK MANAGEMENT AGENCY (RMA)

0520 Master Marketing Agreements

0530 Reinsurance Program

Exhibit D(8)
of IG-2143

AGENCY CODE: 07

FOREIGN AGRICULTURAL SERVICE (FAS)

0720 Foreign Market Development Program (GSM Export Credit
Guarantee Program)

0721 Commodity Imports

0722 Commodity Exports

0723 Commodity Re-Exports

0740 Foreign Trade Subsidy Program

0751 P.L. 480 (Donation of Commodities)

0752 P.L. 480 (Sales)

0753 Other Foreign Commodity Donation Programs

0754 Commodity Export Enhancement Program (i.e., Export PIK)

0780 Export Sales Reporting

AGENCY CODE: 08

FOREST SERVICE (FS)

0820 Timber Sales/Thefts

0821 Other Thefts (minerals, equipment, archeological
artifacts, etc.)

0822 Human Resource Program (Enrollees - Forest Service
employees are covered under code 01)

Exhibit D(10)
of IG-2143

AGENCY CODE: 09

RURAL UTILITIES SERVICE (RUS)

0920 Rural Electrification Program

0930 Rural Telecommunications and CATV Program

0940 Water and Waste Disposal Program Borrower

0950 Water and Waste Disposal Program Contractor

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AGENCY CODE: 10

NATURAL RESOURCES CONSERVATION SERVICE (NRCS)

1020 Soil Conservation Programs

(Watershed 7 Flood Prevention program; Great Plains Conservation Program; and Resource Conservation & Development Program)

1022 Soil water Conservation Programs

(Wetlands Reserve, Water Bank, Colorado River Basin Salinity Control, and Forestry Incentives Program)

Exhibit D(12)
of IG-2143

AGENCY CODE: 24

FOOD SAFETY AND INSPECTION SERVICE (FSIS)

Inspection Programs

- 2434 Federal Meat Inspection Program
- 2435 Poultry Products Inspection Program
- 2437 Meat & Poultry Import Inspection Program
- 2438 Meat & Poultry Export Inspection Program
- 2452 Egg Products Inspection Act

AGENCY CODE: 27

FOOD AND NUTRITION SERVICE (FNS)

Food Distribution

2730 Food Distribution

(Includes programs listed in 7 CFR 250 to 269.)

Food Stamp Program

2740 Compliance Referrals

(All matters scheduled for investigation on a referral from the FNS Compliance Branch.)

2741 Non-Federal Food Stamp Program Employees

(Investigations of State or local government employees who administer the FSP. FNS employees will continue to be under 2701 category.)

2742 Assist/Monitor Other Investigative Agencies

(Investigations involving the FSP being conducted by other Federal, state, or local investigative agencies, for which OIG monitors or assists the other agency, regardless of the offense being investigated.)

2743 Private (Contractor) Issuance Offices

(Investigations involving check cashers, currency exchanges, banks, or any other non-government establishment that contracts to handle or issue Authorization to Participate (ATP's), EBT benefit cards or food stamps.)

2744 Robberies, Burglaries, and Thefts from Food Stamp Facilities

(Investigations of robberies, burglaries, or thefts of ATP's, EBT benefit cards or food stamps in bulk from a food stamp office, bank, post office, or storage center. This category does not include theft from individual recipients or their mailboxes.)

AGENCY CODE: 27

FOOD AND NUTRITION SERVICE (FNS)

2747 Unauthorized Participation in the FSP

(Investigations involving street thieves, counterfeiters, fences, illegal brokers, or any entity/person not authorized to participate in the FSP.)

2748 Retailers and Wholesalers

(Any investigations involving an authorized retailer or wholesaler. This does not include any referrals from FNS Compliance Branch.)

2749 Recipient Frauds

(Any investigation involving fraud by an FSP recipient.)

Child Nutrition Program

2750 Special Milk Program for Children

2751 National School Lunch Program

2752 Child and Adult Care Food Programs

2753 Special Supplemental Food Programs for Women, Infants,
and Children (WIC)

2760 Summer Food Service Program for Children

2761 Other Child Nutrition Programs

Specify program, e.g., School Breakfast Program;
Nonfood Assistance Program.)

AGENCY CODE: 30

GRAIN INSPECTION, PACKERS AND STOCKYARDS ADMINISTRATION (GIPSA)

Federal Grain Inspection Service

3020 Commodity Inspections

3031 Official Inspection of Grain

3032 Official Weighing of Grain

Packers and Stockyards Programs

3040 Cease and Desist Order Violations (7 U.S.C. 195)

3050 Failure to Keep Records After Ordered by the Secretary
(7 U.S.C. 221)

Exhibit D(16)
of IG-2143

AGENCY CODE: 33

ANIMAL AND PLANT HEALTH INSPECTION SERVICE (APHIS)

3320	Animal welfare Act (7 U.S.C. 2131-2155; 9 CFR Parts 1-4)
3330	Dog Fighting and Cock Fighting
3335	Brucellosis Eradication Program
3340	Quarantine Programs (Animals)
3350	Quarantine Programs (Plants)
3360	Endangered Species Act

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AGENCY CODE: 34

RURAL BUSINESS SERVICE (RBS)

Borrowers:

3422 Community Program

3460 Business and Industry Program

3470 Cooperative Services Program

Contractors:

3432 Community Program Contractor

3434 Business and Industry Program Contractor

Exhibit D(18)
of IG-2143

AGENCY CODE: 42

OFFICE OF INSPECTOR GENERAL (OIG)

4220 Case Supervision

4230 Executive Departments and Agencies

(Specify Department or Agency, e.g.. Department of Justice. Use 4231 for FBI; 4232 for Secret Service.)

4231 Federal Bureau of Investigation

4232 U.S. Secret Service

(Use 4214 to report Presidential Security Detail activities.)

4235 Independent Agencies

(Specify agency, e.g.. General Services Administration.)

4236 Quality Assurance Reviews

4237 Internal Control Reviews

4238 Computer Security

4239 Physical Security/General

4240 Personal Security/General

4250 Firearms

(Qualification and familiarization, including travel to and from the event; practice sessions, weapons cleaning, and time used by OIG armorers in servicing weapons.)

AGENCY CODE: 42

OFFICE OF INSPECTOR GENERAL (OIG)

4260 Health and Fitness

(Approved health and fitness activities, annual PEB assessment, annual/biennial medical examinations. Also, any time used by health and fitness coordinators preparing for or incidental to, the annual assessments.)

4270 Defensive Tactics/Arrest Techniques

(Preparation for and travel to/from qualifying sessions, including instructor preparation time.)

4280 Investigative Support

(All direct time associated with the handling of evidence, consensual monitoring, confidential funds, food stamps, and other investigative activity which cannot be attributed to a specific case, but which supports the investigative effort.)

4285 Interpol

4286 FinCEN

4291 Training

4299 Miscellaneous